

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: XIAOLEI SHI, ET AL

: Group Art Unit: 2655

Serial No.: 10/814,697

: Examiner:

Filed: March 30, 2004

For NEAR FIELD OPTICAL STORAGE MASK
LAYER, DISK, AND FABRICATION METHODSUPPLEMENTAL INFORMATION
DISCLOSURE STATEMENT

- ☐ 1 **Pursuant to 37 CFR 1.97(b)**
[within 3 months of national, non-CPA filing or prior to 1st Office Action] *no charge*
- ☒ 2 **Certification Pursuant to 37 CFR 1.97(c)(1)**
[before Final Office Action, Allowance, or other action closing prosecution] *no charge*
- ☐ 3 **Fee Payment Pursuant to 37 CFR 1.97(c)(2)**
[before Final Office Action, Allowance, or other action closing prosecution] *\$180.00*
- ☐ 4 **Certification & Fee Payment Pursuant to 37 CFR 1.97(d)**
[On or before issue fee payment] *\$180.00*

ATTN: MAILSTOP AMENDMENT
COMMISSIONER FOR PATENTS
PO BOX 1450, ALEXANDRIA, VA 22313-1450

Sir:

The following are submitted in the above identified application in compliance with 37 CFR 1.97 & 37 CFR 1.98:

- ☒ 5 A list of documents on form PTO-1449 or Substitute together with copies of each identified document and a translation thereof or a concise explanation of each non-English language document or a Search Report from an International Searching Authority for a patent application filed via the Patent Cooperation Treaty or document(s) cited in the application or the priority application.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Mail Stop Amendment, Commissioner for Patents, PO Box 1450, Alexandria, VA 22313-1450, on the date indicated below.

AUGUST 9, 2005

Date of Deposit

VIVIAN D. BRANDON

Type or Print Name

[Signature]

Signature

This paper is submitted in accordance with:

- ☐ 6 37 CFR 1.97(b): [within 3 months of national, non-CPA filing or prior to 1st Office Action]
- ☒ 7 37 CFR 1.97(c): [before Final Office Action, Allowance, or other action closing prosecution, whichever is earlier]; and
- ☒ 8 The required Certification made in item 11 below; or
- ☐ 9 The \$180.00 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 15 below.
- ☐ 10 37 CFR §1.97(d): [On or before issue fee payment]; and
- a) The required Certification is stated in item 11 below; and
- b) The \$180.00 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 14 below.
- ☒ 11 Certification
- ☒ 12 Each item of information contained in this Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; or
- ☐ 13 No item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this document after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated in 37 CFR 1.56(c) more than three (3) months prior to the filing of this Statement.
- ☒ 14 Payment of all applicable fees:
- ☒ 15 Please charge all applicable fees associated with the submittal of this Information Disclosure Statement and any other fees applicable to this application to Deposit Account No. 07-0868. An original and two (2) copies of this document are enclosed.

Respectfully submitted,

8/5/05
Date

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FORM PTO-1449 (REV. 7-80)	US. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. 140264-1	SERIAL NO. 10/810,697
INFORMATION DISCLOSURE STATEMENT BY APPLICANT LIST OF ITEMS		Applicant XIAOLEI SHI, ET AL	
		Filing Date 3/30/04	Group 2655

U.S. PATENT AND PUBLICATION DOCUMENTS

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	A1	2003/0002428	1/2/03	CHEONG, ET AL		
	A2					
	A3					
	A4					
	A5					

FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
	B1	EP1195757	4/10/02	EPO		
	B2					
	B3					
	B4					
	B5					

OTHER INFORMATION (Including Author, Title, Date, Pertinent Pages, etc.)

C1	COPY OF THE INTERNATIONAL SEARCH REPORT DATED 8/7/05.
C2	H. FUJI, ET AL, "BIT-BY-BIT DETECTION ON SUPER-RESOLUTION NEAR-FIELD STRUCTURE DISK WITH PLATINUM OXIDE LAYER", JPN. J. APPL. PHYS. VOL. 42 (2003), PP. L589-L591.
C3	J. KIM, ET AL, "SUPER-RESOLUTION BY ELLIPTICAL BUBBLE FORMATION WITH Pto _x AND AgInSbTe LAYERS", APPLIED PHYSICS LETTERS, VOL. 83, NO. 9, (2003), PP. 1701-1703.
C4	F. HO, ET AL, "MEASUREMENTS OF NONLINEARITY OF AgO _x SUPER-RESOLUTION NEAR-FIELD STRUCTURE", ADVANCED. OPTICAL. STORAGE TECHNOLOGY, PROCEEDINGS OF SPIE. VOL. 4930 (2002), PP. 68-75.

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant